

PRIVACY IMPACT ASSESSMENT (PIA)

National Institute of Standards and Technology NIST Innovation and Industry Services

Project Description

The mission is to enhance the competitiveness, quality, and productivity of U.S. organizations for the benefit of all residents. To provide cost-shared funding to industry to accelerate the development and broad dissemination of challenging, high risk technologies that promise significant commercial payoffs and wide spread benefits for the nation. To strengthen the global competitiveness of U.S. based manufacturing , by providing information, decision support, and implementation assistance to the small and medium size manufacturing firms in adopting new and more advanced manufacturing technologies, techniques, and business best practices.

This PIA is for the IT systems listed in the table below.

Name of System	Social Security Numbers?	Other Personally Identifiable Information (PII)?	Business Identifiable Information?
NIST 450 01 - Baldrige Performance Excellence Program System	No	Yes	Yes
NIST 470 01 - Technology Innovation Program General Support System	No	Yes	Yes
NIST 480 01 - Hollings Manufacturing Extension Partnership Program (MEIS/CIMS)	No	No	Yes

OMB Control Numbers: The collection of information in this system is covered by the Office of Management and Budget.

OMB No: 0693-0006, Malcolm Baldrige National Quality Award and Examiner Applications.

OMB NO: 0693-0009, Advanced Technology Program.

OMB NO: 0693-0032, NIST MEP Management Information Reporting System Exp. 6/30/2012

1. What information is being collected?

NIST receives and processes applications with Personally Identifiable Information (PII) and Business Identifiable Information (BII). A variety of applicant-specific proprietary/business sensitive information is stored in the system.

The administration and management of NIST employees, including contractors, also involves

the collection and maintenance of Continuity of Operations (COOP) data, and other PII that relates to the employee or contractor. That data is maintained in System 470-01.

2. Why is the information being collected?

PII is collected from potential Examiners to be used in the Examiner selection process, and then to later be used during the evaluation portion of the BNQP.

BII is collected as part of NIST BNQP Award process.

Personal information about NIST employees and associates is collected and maintained as part of the routine administrative functions of the federal government. Specifically COOP contract lists are required for the functioning of the organization.

PII and BII from outside sources are collected as part of the NIST TIP funding project.

MEP is required to evaluate the effectiveness of the program and the centers it funds. Collection of data from centers is required to insure that they are effectively disseminating modern technical and business assistance to small and medium-sized manufactures in the United States.

3. What is the intended use of the information?

PII and BII are used to facilitate the Examiners review of the Award applications and prepare a scorebook of the applicants based on the applicant's responses to criteria. Also the PII obtained is used to ensure the comfort and security of visitors and the administration and management of NIST employees.

PII and BII are used to facilitate the work done under the NIST TIP.

Information will be used for internal review purposes to monitor the centers, as well as for reporting to stakeholders such as DoC, NIST, and Congress. Reports containing the characteristics and performance of the centers will include trends, benchmarks, statistical tables and charts generated from MEIS/CIMS in aggregate form.

4. With whom will the information be shared?

Information may be shared with BNQP staff, Examiners, and the Panel of Judges. The information may be accessed by staff from the American Society of Quality (ASQ), a contractor who supports the entire award application process, and by APPLYYOURSELF (AY), a developer and host of Baldrige Examiners application and related processes. All shared information is in accordance with the Privacy Act.

PII data is not shared with any other organizations, public or private. Reviewer information is shared only with TIP staff as needed. BII data may be published as aggregate statistics biannually in TIP's publication, "Measurements TIP Impact: Report on Economic Progress." The data is also used in an annual budget report of performance.

Summary information, or information approved for public use will be shared with MEP Centers and their stakeholders, (DoC, NIST, Congress, etc.), and the general public. In the case of Success Stories, specific business identifiable information is only made available to the general public after consent to distribute the information has been received.

5. What opportunities do individuals or businesses have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information and how can they grant such consent?

Examiner and Award applicants provide their information on a voluntary basis. However, to be considered for an Award, applicants must submit the required information. Applicants are informed of the intended uses of the information.

NIST employees provide COOP contract information on a voluntary basis.

For the BII data, the data provided is required in order to be reviewed and considered for funding from the TIP. Submitting the application is voluntary, however, if such information is not provided, the company cannot receive funding. The companies give prior consent for information TIP publishes. The Economic Assessment Office of NIST TIP secures company approval of items published before making it public. Reviewer data is voluntary.

The NIST MEP Client Impact Survey is a voluntary collection. The company representative has the opportunity to decline participation in the survey. Centers notify NIST MEP of this fact or the client company notifies the interviewer when they receive a request to participate.

6. How will the information be secured?

As required by FIPS 199, the NIST BNQP and NIST TIP systems and all components were reviewed for the sensitivity of the information in them, and were determined to require protection appropriate for Moderate Impact systems. All relevant policies, procedures and guidelines, including NIST Special Publication 800-53, have been followed to ensure the security of the systems and the information in them. The System Security Plan on file with the NIST IT Security Officer contains additional details. For MEIS/CIMS refer to System Security Plan 480-01 for details.

In addition to the common physical and environmental controls in place at NIST, TIP uses cipher locks for physical access control to the servers, access control for display medium, emergency shutoff, emergency power, temperature and humidity controls. All technical controls used for identification and authentication (e.g., userid, password), access control, audit and accountability, system and communications protection are listed in section 4 of the System Security Plan.

7. How is the data extract log and verify requirement being met?

NIST implemented Web based centralized logging system that tracks:

- a. Who performed the extract,
- b. When extract was done,
- c. What was the extract,
- d. Where was the extract taken from,
- e. Has the extract been deleted and,
- f. If not deleted after 90 days, to monitor that it is still needed in 90 day intervals.

8. Is a system of records being created under the Privacy Act (5 U.S.C. 552a)?

No

9. Are these records covered by an approved records control schedule?

Records created by individual areas using NIST Baldrige National Quality Program System are scheduled under National Archives and Records Administration (NARA) approved record retention schedules:

Paper copies/record copy - N1-167-92-2 Items 1 through 10.

Electronic copies - N1-167-00-02 Item 1, and N1-167-00-01 Item 1.

Records created by individual areas using NIST TIP are scheduled under National Archives and Records Administration (NARA) approved record retention schedules:

Paper copies/record copy - ATP Funded and Non-funded Proposals - N1-167-92-1 Items 37a. and b.

Electronic copies - N1-167-00-02 Item 1, and N1-167-00-01 Item 1.

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